



PTO/SB/08A (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/635,317
		Filing Date	August 6, 2003
		First Named Inventor	Jade D. Nelson, et al.
		Art Unit	1626
		Examiner Name	Wright
Sheet 1 of 3	Attorney Docket Number	PC20549A	

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
DMW		US- 4681893	7/21/1987	Roth, et al.	
DMW		US- 5969156	10/19/1999	Briggs, et al.	
DMW		US- 5003080	3/26/1991	Butler, et al.	
DMW		US- 5097045	3/17/1992	Butler, et al.	
DMW		US- 5103024	4/7/1992	Millar, et al.	
DMW		US- 5124482	6/23/1992	Butler, et al.	
DMW		US- 5149837	9/22/1992	Butler, et al.	
DMW		US- 5155251	10/13/1992	Briggs, et al.	
DMW		US- 5216174	6/1/1993	Butler, et al.	
DMW		US- 5245047	9/14/1993	Butler, et al.	
DMW		US- 5248793	9/28/1993	Millar, et al.	
DMW		US- 5280126	1/18/1994	Butler, et al.	
DMW		US- 5397792	3/14/1995	Butler, et al.	
DMW		US- 5342952	8/30/1994	Butler, et al.	
DMW		US- 5298627	3/29/1994	Butler, et al.	
DMW		US- 5446054	8/29/1995	Butler, et al.	
DMW		US- 5470981	11/28/1995	Butler, et al.	
DMW		US- 5489690	2/6/1996	Butler, et al.	
DMW		US- 5489691	2/6/1996	Butler, et al.	

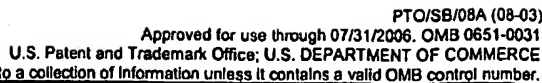
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent/Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁴
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				

Examiner Signature	<i>Sonya Wright</i>	Date Considered	4-19-04
--------------------	---------------------	-----------------	---------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ F or Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	2	of	3
-------	---	----	---

Complete if Known

Application Number	10/635,317
Filing Date	August 6, 2003
First Named Inventor	Jade D. Nelson, et al.
Art Unit	1626
Examiner Name	Wright
Attorney Docket Number	PC20549A

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Donna Wright

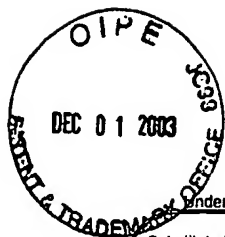
Date
Considered

4-19-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Completeness of Known			
		Applicant Number	10/635,317		
		Filing Date	August 6, 2003		
		First Named Inventor	Jade D. Nelson, et al.		
		Art Unit	1626		
		Examiner Name	Wright		
Sheet	3	of	3	Attorney Docket Number	PC20549A

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
SNW		Saburi, et al., Asymmetric Hydrogenation of 3,5-Dioxoesters Catalyzed by Ru-binap Complex: A Short Step Asymmetric Synthesis of 6-Substituted 5,6-dihydro-2-pyrones, Tetrahedron, Vol. 49(10): 1997-2010 (1993)	
SNW		Carpentier, et al., One-Pot and Sequential Asymmetric Hydrogenation of α , β -Diketone esters into Functionalized 1,3-Diols: From anti- to syn-Stereoselectivity, Eur. J. Org. Chem, 3421-3427 (1999)	
SNW		Noyori, et al., Asymmetric Transfer Hydrogenation Catalyzed by Chiral Ruthenium Complexes, Acc. Chem. Res., 30(2): 97-102 (1997)	
SNW		Palmer, et al., Asymmetric transfer hydrogenation of C=O and C=N bonds, Tetrahedron: Asymmetry, 10(11): 2045-2061 (1999)	

Examiner Signature	<i>Donya Wright</i>	Date Considered	4-19-04
--------------------	---------------------	-----------------	---------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.